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3-6-02

PTO/SB/05 (11-00)

Approved through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. NSG-208US

First Inventor Kenichi Nakama et al.

Title OPTICAL MODULE AND METHOD FOR ASSEMBLING THE SAME

Express Mail Label No. EV 029 154 459 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 17]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 61]
5. Oath or Declaration [Total Pages 31]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c. ☐ Unexecuted Declaration
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☒ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
18. ☒ Express Mail Certification
17. ☒ Other: Check

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: \_\_\_\_ /

Prior application information Examiner

Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

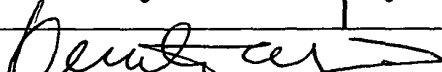
## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

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or ☐ Correspondence address below

Name	PATENT TRADEMARK OFFICE				
Address	1500 K STREET, N.W. WASHINGTON, D.C. 20540				
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Country	Telephone	Fax			

Name (Print/Type)	Kenneth N. Nigon	Registration No. (Attorn y/Agent)	31,549
Signature		Date	March 4, 2002

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete If Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Kenichi Nakama et al.
Examiner Name	
Group / Art Unit	
Attorney Docket No.	NSG-208US

TOTAL AMOUNT OF PAYMENT (\$) 1060

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 18-0350

Deposit Account Name Ratner & Prestia

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)					(\$ 740)

### 2. EXTRA CLAIM FEES

Total Claims	17	-20**	=	0	X	18	=	0
Independent Claims	2	-3**	=	0	X	84	=	0
Multiple Dependent	1				X	280	=	280

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 280)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	150	123	150	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40)

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Kenichi N. Nigon	Registration No. Attorney/Agent)	31,549	Telephone	610-407-0700
Signature		Date	March 4, 2002		

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Kenichi Nakama et al.

Docket No.

NSG-208US

Serial No.

Filing Date

Examiner

Group Art Unit

To Be Assigned

Herewith

Invention: OPTICAL MODULE AND METHOD FOR ASSEMBLING THE SAME

I hereby certify that the following correspondence:

Utility Trans.; Fee Trans. (2); Spec. (17 pgs.); Drawings (6 sheets); Decl/POA (3 pgs.); 1595; Assignment (2 pgs.); Claim to Right of Priority (1); Certified Copies of Priority Documents; Check; Postcard

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

March 4, 2002

(Date)

Annie Caucci

(Typed or Printed Name of Person Mailing Correspondence)

Annie Caucci

(Signature of Person Mailing Correspondence)

EV029154459US

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kenichi Nakama et al. : Art Unit:  
Serial No.: To Be Assigned : Examiner:  
Filed: Herewith :  
FOR: OPTICAL MODULE AND METHOD :  
FOR ASSEMBLING THE SAME :



## CLAIM TO RIGHT OF PRIORITY

Assistant Commissioner for Patents  
Washington, D.C. 20231

S I R :

Pursuant to 35 U.S.C. 119, Applicant's claim to the benefit of filing of prior Japanese Patent Applications No. 2001-73,218, filed March 15, 2001 and No. 2001-182,894, filed June 18, 2001, as stated in the inventor's Declaration, is hereby confirmed.

A certified copy of each of the above-referenced applications is enclosed.

Respectfully submitted,

Kenneth N. Nigon, Reg. No. 31,549  
Attorney for Applicants

Enclosures: Certified Copies of Japanese Applications  
Dated: March 4, 2002

Suite 301  
One Westlakes, Berwyn  
P.O. Box 980  
Valley Forge, PA 19482-0980  
(610) 407-0700

The Assistant Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail under Express Mail Label No. EV 029 154 459 US addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

March 4, 2002

Annie Caucci